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10845 U.S. PTO

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Please type a plus sign (+) inside this box → ☐PTO/SB/05 (4/98)  
Approved for use through 09/30/2000. OMB 0651-0032  
Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE  
Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.**UTILITY  
PATENT APPLICATION  
TRANSMITTAL**

(Only for new nonprovisional applications under 37 C.F.R. § 1.53(b))

Attorney Docket No. 476-1934

First Inventor or Application Identifier Forbes

Title Improved Optical Network Architecture

Express Mail Label No. EL 388 802 268 US

**APPLICATION ELEMENTS**  
See MPEP chapter 600 concerning utility patent application contents.ADDRESS TO: Assistant Commissioner for Patents  
Box Patent Application  
Washington, DC 20231

1. ☒ \* Fee Transmittal Form (e.g., PTO/SB/17)  
(Submit an original and a duplicate for fee processing)
2. ☒ Specification [Total Pages 14]  
(preferred arrangement set forth below)
- Descriptive title of the Invention
  - Cross References to Related Applications
  - Statement Regarding Fed sponsored R & D
  - Reference to Microfiche Appendix
  - Background of the Invention
  - Brief Summary of the Invention
  - Brief Description of the Drawings (if filed)
  - Detailed Description
  - Claim(s)
  - Abstract of the Disclosure
3. ☒ Drawing(s) (35 U.S.C. 113) [Total Sheets 5]
4. Oath or Declaration [Total Pages 4]
- a. ☒ Newly executed (original or copy)
- b. ☐ Copy from a prior application (37 C.F.R. § 1.63(d))  
(for continuation/divisional with Box 16 completed)
- i. ☐ DELETION OF INVENTOR(S)  
Signed statement attached deleting  
inventor(s) named in the prior application,  
see 37 C.F.R. §§ 1.63(d)(2) and 1.33(b).

5. ☐ Microfiche Computer Program (Appendix)
6. Nucleotide and/or Amino Acid Sequence Submission  
(if applicable, all necessary)
- a. ☐ Computer Readable Copy
- b. ☐ Paper Copy (identical to computer copy)
- c. ☐ Statement verifying identity of above copies

**ACCOMPANYING APPLICATION PARTS**

7. ☒ Assignment Papers (cover sheet & document(s))
8. ☐ 37 C.F.R. § 3.73(b) Statement of Power of Attorney  
(when there is an assignee) ☐ Attorney
9. ☐ English Translation Document (if applicable)
10. ☐ Information Disclosure Statement (IDS)/PTO-1449 ☐ Copies of IDS Citations
11. ☐ Preliminary Amendment
12. ☒ Return Receipt Postcard (MPEP 503)  
(Should be specifically itemized)
13. ☐ \* Small Entity Statement(s) ☐ Statement filed in prior application,  
(PTO/SB/09-12) Status still proper and desired
14. ☐ Certified Copy of Priority Document(s)  
(if foreign priority is claimed)
15. ☐ Other: \_\_\_\_\_

**\* NOTE FOR ITEMS 1 & 13: IN ORDER TO BE ENTITLED TO PAY SMALL ENTITY FEES, A SMALL ENTITY STATEMENT IS REQUIRED (37 C.F.R. § 1.27), EXCEPT IF ONE FILED IN A PRIOR APPLICATION IS RELIED UPON (37 C.F.R. § 1.28).****16. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment:**☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application No: \_\_\_\_\_


Prior application information: Examiner \_\_\_\_\_ Group / Art Unit: \_\_\_\_\_

**For CONTINUATION or DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 4b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.****17. CORRESPONDENCE ADDRESS**☐ Customer Number or Bar Code Label

(Insert Customer No. or Attach bar code label here)

or ☒ Correspondence address below

Name	William M. Lee, Jr.			
	Lee, Mann, Smith, McWilliams, Sweeney & Ohlson			
Address	P.O. Box 2786			
City	Chicago	State	Illinois	Zip Code 60690-2786
Country	USA	Telephone	(312) 368-1300	Fax (312) 368-0034

Name (Print/Type)	Peter J. Shakula	Registration No. (Attorney/Agent)	40,808
Signature		Date	7/31/00

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Box Patent Application, Washington, DC 20231.

<h1 style="margin: 0;">FEE TRANSMITTAL</h1> <h2 style="margin: 0;">for FY 1999</h2> <p style="font-size: small; margin: 0;">Patent fees are subject to annual revision. Small Entity payments <u>must</u> be supported by a small entity statement, otherwise large entity fees must be paid. See Forms PTO/SB/09-12.</p>		<p><i>Complete if Known</i></p> <table border="1" style="width: 100%; border-collapse: collapse;"> <tr><td>Application Number</td><td></td></tr> <tr><td>Filing Date</td><td></td></tr> <tr><td>First Named Inventor</td><td>Forbes</td></tr> <tr><td>Examiner Name</td><td></td></tr> <tr><td>Group / Art Unit</td><td></td></tr> <tr><td>Attorney Docket No.</td><td>476-1934</td></tr> </table>		Application Number		Filing Date		First Named Inventor	Forbes	Examiner Name		Group / Art Unit		Attorney Docket No.	476-1934
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<b>TOTAL AMOUNT OF PAYMENT</b>		<b>(\$)</b> 730													



METHOD OF PAYMENT (check one)	FEE CALCULATION (continued)																																																																																																																				
<p>1. <input checked="" type="checkbox"/> The Commissioner is hereby authorized to charge indicated fees and credit any over payments to:</p> <p>Deposit Account Number: <u>12-0913</u></p> <p>Deposit Account Name: <u>Lee, Mann, Smith, McWilliams, Sweeney &amp; Ohlson</u></p> <p><input checked="" type="checkbox"/> Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17</p> <p>2. <input checked="" type="checkbox"/> Payment Enclosed:  <input checked="" type="checkbox"/> Check    <input type="checkbox"/> Money Order    <input type="checkbox"/> Other</p>	<p><b>3. ADDITIONAL FEES</b></p> <table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th>Large Entity Fee Code (\$)</th> <th>Small Entity Fee Code (\$)</th> <th>Fee Description</th> <th>Fee Paid</th> </tr> </thead> <tbody> <tr><td>105</td><td>130</td><td>205 65</td><td>Surcharge - late filing fee or oath</td></tr> <tr><td>127</td><td>50</td><td>227 25</td><td>Surcharge - late provisional filing fee or cover sheet.</td></tr> <tr><td>139</td><td>130</td><td>139 130</td><td>Non-English specification</td></tr> <tr><td>147</td><td>2,520</td><td>147 2,520</td><td>For filing a request for reexamination</td></tr> <tr><td>112</td><td>920*</td><td>112 920*</td><td>Requesting publication of SIR prior to Examiner action</td></tr> <tr><td>113</td><td>1,840*</td><td>113 1,840*</td><td>Requesting publication of SIR after Examiner action</td></tr> <tr><td>115</td><td>110</td><td>215 55</td><td>Extension for reply within first month</td></tr> <tr><td>116</td><td>380</td><td>216 190</td><td>Extension for reply within second month</td></tr> <tr><td>117</td><td>870</td><td>217 435</td><td>Extension for reply within third month</td></tr> <tr><td>118</td><td>1,360</td><td>218 680</td><td>Extension for reply within fourth month</td></tr> <tr><td>128</td><td>1,850</td><td>228 925</td><td>Extension for reply within fifth month</td></tr> <tr><td>119</td><td>300</td><td>219 150</td><td>Notice of Appeal</td></tr> <tr><td>120</td><td>300</td><td>220 150</td><td>Filing a brief in support of an appeal</td></tr> <tr><td>121</td><td>260</td><td>221 130</td><td>Request for oral hearing</td></tr> <tr><td>138</td><td>1,510</td><td>138 1,510</td><td>Petition to institute a public use proceeding</td></tr> <tr><td>140</td><td>110</td><td>240 55</td><td>Petition to revive - unavoidable</td></tr> <tr><td>141</td><td>1,210</td><td>241 605</td><td>Petition to revive - unintentional</td></tr> <tr><td>142</td><td>1,210</td><td>242 605</td><td>Utility issue fee (or reissue)</td></tr> <tr><td>143</td><td>430</td><td>243 215</td><td>Design issue fee</td></tr> <tr><td>144</td><td>580</td><td>244 290</td><td>Plant issue fee</td></tr> <tr><td>122</td><td>130</td><td>122 130</td><td>Petitions to the Commissioner</td></tr> <tr><td>123</td><td>50</td><td>123 50</td><td>Petitions related to provisional applications</td></tr> <tr><td>126</td><td>240</td><td>126 240</td><td>Submission of Information Disclosure Stmt</td></tr> <tr><td>581</td><td>40</td><td>581 40</td><td>Recording each patent assignment per property (times number of properties)</td></tr> <tr><td>146</td><td>760</td><td>246 380</td><td>Filing a submission after final rejection (37 CFR 1.129(a))</td></tr> <tr><td>149</td><td>760</td><td>249 380</td><td>For each additional invention to be examined (37 CFR 1.129(b))</td></tr> <tr><td colspan="3">Other fee (specify) _____</td><td></td></tr> <tr><td colspan="3">Other fee (specify) _____</td><td></td></tr> </tbody> </table>	Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid	105	130	205 65	Surcharge - late filing fee or oath	127	50	227 25	Surcharge - late provisional filing fee or cover sheet.	139	130	139 130	Non-English specification	147	2,520	147 2,520	For filing a request for reexamination	112	920*	112 920*	Requesting publication of SIR prior to Examiner action	113	1,840*	113 1,840*	Requesting publication of SIR after Examiner action	115	110	215 55	Extension for reply within first month	116	380	216 190	Extension for reply within second month	117	870	217 435	Extension for reply within third month	118	1,360	218 680	Extension for reply within fourth month	128	1,850	228 925	Extension for reply within fifth month	119	300	219 150	Notice of Appeal	120	300	220 150	Filing a brief in support of an appeal	121	260	221 130	Request for oral hearing	138	1,510	138 1,510	Petition to institute a public use proceeding	140	110	240 55	Petition to revive - unavoidable	141	1,210	241 605	Petition to revive - unintentional	142	1,210	242 605	Utility issue fee (or reissue)	143	430	243 215	Design issue fee	144	580	244 290	Plant issue fee	122	130	122 130	Petitions to the Commissioner	123	50	123 50	Petitions related to provisional applications	126	240	126 240	Submission of Information Disclosure Stmt	581	40	581 40	Recording each patent assignment per property (times number of properties)	146	760	246 380	Filing a submission after final rejection (37 CFR 1.129(a))	149	760	249 380	For each additional invention to be examined (37 CFR 1.129(b))	Other fee (specify) _____				Other fee (specify) _____			
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SUBMITTED BY				Complete (if applicable)	
Typed or Printed Name	Peter J. Shakula			Reg. Number	40,808
Signature			Date	7/31/00	
				Deposit Account User ID	

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Please acknowledge  
receipt of  
enclosed:

Duncan J. Forbes et al.

**Improved Optical Network Architecture**

SERIAL NO: To be assigned

FILING DATE: Herewith

1. Utility Patent Application Transmittal
2. Fee Transmittal for FY 1999 in duplicate
3. Check No. **40844** for \$730.00
4. Assignment Transmittal and Assignment
5. Declaration and Power of Attorney
6. Specification with five (5) sheets of drawings
7. Certificate of EXPRESS MAIL.
8. Return Post Card.

DATE SENT: July 31, 2000  
WJR:lmb

U.S. PTO  
09/629785  
07/31/00

*"Express Mail" mailing label number*

EL388802268US

*Date of deposit: July 31, 2000*

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Richard Sensenbrenner

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